

# PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail Box ISSUE FEE**  
**Commissioner for Patents**  
**Washington, D.C. 20231**  
**Fax (703)746-4000**

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

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**Certificate of Mailing or Transmission**  
 I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Box Issue Fee address above, or being facsimile transmitted to the USPTO, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO. 09/809,197	FILING DATE 03/16/2001	FIRST NAMED INVENTOR Yusuke Amino	ATTORNEY DOCKET NO. 203348US0CONT	CONFIRMATION NO. 6248
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TITLE OF INVENTION: N-ALKYLASPARTYL DIPEPTIDE ESTER COMPOUNDS

APPLN. TYPE nonprovisional	SMALL ENTITY NO	ISSUE FEE \$1300	PUBLICATION FEE \$300	TOTAL FEE(S) DUE \$1600	DATE DUE 07/08/2003
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EXAMINER OH, TAYLOR V	ART UNIT 1625	CLASS-SUBCLASS 560-044000
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1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. **OBLON, SPIVAK,**  
 2. **MCLELLAND, MAIER**  
 3. **& NEUSTADT, P.C.**

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

AJINOMOTO CO., INC. Tokyo, JAPAN

Please check the appropriate assignee category or categories (will not be printed on the patent) ☐ individual ☒ corporation or other private group entity ☐ government

4a. The following fee(s) are enclosed:

- ☒ Issue Fee  
☒ Publication Fee  
☐ Advance Order - # of Copies -0-

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- ☒ A check in the amount of the fee(s) is enclosed.  
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Commissioner for Patents is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

(Authorized Signature)

(Date)

*Paul Sashin #43418* 6/23/03

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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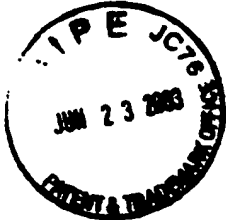
06/24/2003 EAREGAY2 00000044 09809197

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**OK to Enter**

TRANSMIT THIS FORM WITH FEE(S)



Docket No.: 203348US0CONT

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313



ATTORNEYS AT LAW

RE: Application Serial No.: 09/809,197  
Applicants: Yusuke AMINO, et al.  
Filing Date: March 16, 2001  
For: N-ALKYLASPARTYL DIPEPTIDE ESTER  
COMPOUNDS  
Group Art Unit: 1625  
Examiner: Oh, Taylor V.  
Allowed: April 8, 2003

*COPY #15*

SIR:

Attached hereto for filing are the following papers:

**Comments on Statement of Reasons for Allowance  
Information Disclosure Statement Under 37 CFR 1.97  
Form PTO 1449**

**Office Communication and Hungarian Novelty Search Report  
Cited References (3)**

Our check in the amount of \$180.00 is attached covering any required fees. In the event any variance exists between the amount enclosed and the Patent Office charges for filing the above-noted documents, including any fees required under 37 C.F.R. 1.136 for any necessary Extension of Time to make the filing of the attached documents timely, please charge or credit the difference to our Deposit Account No. 15-0030. Further, if these papers are not considered timely filed, then a petition is hereby made under 37 C.F.R. 1.136 for the necessary extension of time. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



22850

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Norman F. Oblon  
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Vincent K. Shier, Ph.D.  
Registration No. 50,552

**COPY**

DOCKET NO.: 203348US0CONT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

Yusuke AMINO, et al.

SERIAL NO.: 09/809,197

FILED: MARCH 16, 2001

FOR: N-ALKYLASPARTYL DIPEPTIDE ESTER COMPOUNDS

: EXAMINER: OH

: GROUP ART UNIT: 1625

: ALLOWED: APRIL 8, 2003

COMMENTS ON STATEMENT OF REASONS FOR ALLOWANCE

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Responsive to the Notice of Allowance dated April 8, 2003, Applicants respectfully submit the following Comments on Statement of Reasons for Allowance to clarify the record.

On page 1 of the Notice of Allowance (paper number 14), the Examiner indicates that this Communication is responsive to Applicants' Amendment and Request for Reconsideration filed on March 4, 2003 (see paragraph 1). Applicants note that a Supplemental Amendment was filed on April 4, 2003, which the Office has not formally recognized on the Notice of Allowance.

Applicants note that Claim 35 was added in the April 4, 2003 Supplemental Amendment. Applicants further note that the specification and Claims 30, 31 and 34 were also amended in the Supplemental Amendment filed on April 4, 2003. It is Applicants belief that the April 4, 2003 Supplemental Amendment, and all amendments therein, have been entered and are appropriate. Support for this belief is provided by the Examiner's indication on page 1 of the Notice of Allowance (paper number 14) that Claims 1-35 are allowed (see paragraph 2).

For the reasons stated herein above, the cited references of record do not disclose or suggest the claimed lubricant composition or any of the advantages flowing therefrom.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



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Norman F. Oblon  
Attorney of Record  
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Vincent K. Shier, Ph.D.

COPY

Docket No. 203348US0CONT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Yusuke AMINO, et al.

SERIAL NO: 09/809,197

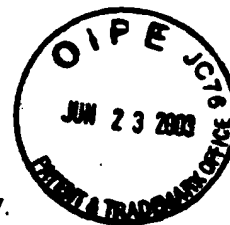
GAU: 1625

FILED: March 16, 2001

EXAMINER: Oh, Taylor V.

FOR: N-ALKYLASPARTYL DIPEPTIDE ESTER COMPOUNDS

Allowed: April 8, 2003



INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references cited on the attached Office Communication and Hungarian Novelty Search Report and listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☒ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☒ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



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Norman F. Oblon

Registration No. 24,618

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Form PTO 1449  
(Modified)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY DOCKET NO.  
203348US0CONTSERIAL NO.  
09/809,197

## LIST OF REFERENCES CITED BY APPLICANT

APPLICANT  
Yusuke AMINO, et al.FILING DATE  
March 16, 2001GROUP  
1625

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	4,766,246	08/23/88	Zanno, et al. (corresponds to HU 204 418)			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AO	HU 204 418 B	04/28/89	Hungary (corresponds to U.S. 4,766,246)		
	AP	HU 218 158 b	03/28/96	Hungary (corresponds to U.S. 5,480,668, previously cited)		
	AQ					
	AR					
	AS					
	AT					
	AU					
	AV					

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

	AW	
	AX	
	AY	
	AZ	

☐ Additional References sheet(s) attached

Examiner

Date Considered

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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2003 2003年 6月 5日 14時37分

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DANUBIA HUNGARY

NO. 5960 P. 403



**MAGYAR SZABADALMI HIVATAL**

Budapest V., Garibaldi utca 2. • 1770 Budapest 5, H-533  
Telefon: 323 4409 • Telefax: 131 2396  
Adószám: 13911740341 SZ/15 Kétfélszoros

1057/1

2002.05.08.0945-1303

640- 2



**Ügyszám:**

**P0103979 /8**

**Ügyszám:**

**Dr. Radócsiné**

**Schiller László, DANUBIA**

**Szabadalmi és Védjegy Iroda Kft.**

**Budapest**

**Bajcsy-Zs. út 16.**

**1051**

**Tárgy:** Értéshő tájékoztató elvégzéséről (A3)

**ÉRTESÍTÉS**

**Beküldő:**

**Ajinomoto Co., Inc., Tóldó (JP)**

**Képviselet:**

**Schiller László, DANUBIA Szabadalmi és Védjegy Iroda Kft.**

**A bejelentés címe:**

**N-alkilaszparill-észter-észter-származékok és ezek tartalmú édesítőszer**

**A bejelentés napja: 1999. szeptember 10.**

**A közlés napja: 2002. február 28.**

A Magyar Szabadalmi Hivatal az 1993. évi XXXIII. törvény (Ert.) 69.§-ának (4) bekezdése alapján az értéshő tájékoztató elvégzéséről hatósági tájékoztatót készít a Szabadalmi Kézikönyv és Védjegytervező 2003. évi 3. számában.

2003. május 21. napján.

10.28.  
11.28.

Egyben a Hivatal az Ert. 69.§-ának (3) bekezdése alapján az értéshő tájékoztatói jelentést a hivatali iratok másolataival együtt megküldi a bejelentőnek.

A Hivatal egyúttal tájékoztatja a bejelentőt, hogy az érdemi vizsgálata - ha korábban nem kérték - legkésőbb az értéshő tájékoztató elvégzéséről készült hatósági tájékoztatót követően megkezdődik napjelenlegi állapotot hat hónap elteltéig lehet kéteni.

Az érdemi vizsgálata irányuló kérelem elmaradása esetén egy kell tekinteni, hogy a bejelentő lemondott az ideiglenes szabadalmi oltalomról.

Budapest, 2003. április 30.

**Melléklet:**

- értéshő tájékoztatói jelentés
- 2 db bejelentési irat másolata
- nemzeti és nemzetközi jogszabályok másolata



*Radócsiné Györgyi*  
Dr. Radócsiné Györgyi  
Szabadalmi és Védjegy Iroda Kft.



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P0103979/8

Kézikönyv/Dr. Radócsiné

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MAGYAR  
SZABADALMI  
HIVATAL

# ÚJDONSÁGKUTATÁSI JELENTÉS

A bejelentés sorszáma: P0103979

Év:	P C T	A	B	C	D
	*	Lásd a mellékelt PCT/JP9904977(WO0017230) számú nemzetközi újdonságkutatási jelentés másolatát!	.....		
A		HU 204418 B GENERAL FOODS CORP. Kt.: 1989. 04. 28.	1-28		C07K 5075 A23L 1236
A		HU 218158 B Nefre Claude Kt.: 1996. 03. 28.	1-28		A vizsgált szakmólc NSZQ C07K A23L
Dátum:		2002.11.29		Ügyintéző:	
				dr. Radnóczy Gyöngyné	
* PCT-újdonságkutatási jelentésről		Az olyan írt, amely nyilvános jelentésben először, közlésre, közzétételre vagy más módon nyilvános közlésre került		Vizsgált bejelentés előzetes napján követően került nyilvánosságra	
A bejelentés írott közléséről:		N: olyan írt, amely a vizsgált megoldás valamennyi lényeges jellemzőjét tartalmazza		D: olyan írt, amely a vizsgált megoldás lényegében a bejelentés állításának ismeretében a bejelentés írt	
Y: olyan írt, amely egy vagy két írttal kombinálva magában foglalja a vizsgált megoldás valamennyi lényeges jellemzőjét		P: olyan írt, amely a magyar bejelentés napja előtt, de az igényelt előzetes napján vagy azt követően került nyilvánosságra		A: azonos szabadalmi területre tartozó írt formája	
A: a bejelentés állítás megfogalmazása		E: olyan korábbi előzetes magyar szabadalmi vagy hazai állami szintű írt, amely a			

COE

2003年 5月27日 13時09分

加國內特許事務所

NO. 5619 P. 18

Hungarian Patent  
Office

## NOVELTY SEARCH REPORT

Application No. P0103979

Category	P C T	Identification data of relevant documents	Reference to claim No.	Classification of the application  IPC 6
A	*	See the International Novelty Search Report No. PCT/JP9904977 (WO0017230) attached	....	C07K 5075 A23L 1236
A		HU 204418 B GENERAL FOODS CORP. Published: 28.04.1989	1-28	Examined/special field IPC 6
A		HU 218158 B Nofre Claude Published: 28.03.1996	1-28	C07K A23L

Date: November 29, 2002	Person performing the search: Mrs. dr. Gy. Radnáci	
<p>* from the PCT Search Report</p> <p>Categories of relevant documents:</p> <p>X: document comprising all the essential features of the examined solution</p> <p>Y: document comprising all the essential features of the examined solution in combination with one or two other documents</p> <p>A: document defining the state of art</p>	<p>O: document referring to public use, exploitation, oral communication, exhibition or any other type of disclosure</p> <p>P: document published prior to the Hungarian filing date but later than the priority date claimed</p> <p>E: Hungarian patent or utility model specification having an earlier priority date and being published after the priority date of the examined application</p>	<p>D: document cited by applicant as belonging to the state of the art in the examined application</p> <p>A: document member of the same patent family (analogue)</p>

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OSMM&N File No. 203348US0CON

Dept.: -C-

By: NFO/VKS/sfb

Serial No. 09/809,197

In the matter of the Application of: Yusuke AMINO, et al.

For: N-ALKYLASPARTYL DIPEPTIDE ESTER COMPOUNDS

Due Date: 06/19/03

The following has been received in the U.S. Patent Office on the date stamped hereon:

- ☒ Check for \$180.00
- ☒ Dep. Acct. Order Form
- ☒ PTO Cover Letter
- ☒ Comments on Statement of Reasons for Allowance
- ☒ Information Disclosure Statement
- ☒ PTO-1449
- ☒ Cited References 3
- ☒ Office Communication and Hungarian Novelty Search Report



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